



**United States
Fish & Wildlife Service**

Memorandum

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Date

12/03/2004

From

AD - Budg, Planning & Hum Res

Subject

New Non-SES Performance Appraisal System

The Department of the Interior University's online training on the new non-SES performance appraisal system is now available to all employees. Information and instructions were included in the Department's all employee message of November 17, 2004. The DOI University's online training is not mandatory for supervisors/managers; however, some type of formal training is mandatory for supervisors/managers in order to implement the new 5-level performance appraisal system.

As part of implementing the new 5-level system, the following Service mandatory critical elements must be included in the performance plans of those employees described below. Immediately following the critical element for managers and supervisors are benchmark supervisory standards provided for your use. These standards can be used in describing expected performance at the various levels. You may also choose to augment these or develop your own performance standards.

A. Supervisory - Employees with managerial or supervisory duties:

Critical Element: Management Excellence - Performance of supervisory/managerial duties will be carried out in accordance with regulatory requirements and Service policy governing the following areas:

- 1) Diversity/EEO Obligations:* Demonstrates progress toward the goals in the Affirmative Employment Scorecard and a commitment to the prevention and resolution of equal opportunity issues;
- 2) Internal management controls;*
- 3) Merit Systems Principles;*
- 4) Safety and Occupational Health obligations;*
- 5) Effective performance management:* Ensures the workforce is deployed and aligned for mission accomplishment, using the Service's workforce planning process and results, along with other performance enhancing tools and techniques;
- 6) Effective management of conduct & discipline issues; and*
- 7) Training and IDP's:* Annually discusses training needs with staff, reviews and approves Individual Development Plans, and provides staff a minimum of 40 hours of continuous learning opportunities in accordance with 231 FW 1 and 2.

Benchmark Supervisory Standards:

Exceptional: The employee demonstrates excellent leadership skills and with only rare exceptions

develops effective working relationships with others. The employee immediately handles difficult situations with subordinates with professionalism and effectiveness, and demonstrates foresight in correcting situations that may cause future problems before they arise. The employee encourages independence and risk-taking among subordinates, yet takes responsibility for their actions. The employee is open to and solicits the views of others, and promotes cooperation among peers and subordinates, while guiding, motivating and stimulating positive responses.

The employee demonstrates a strong commitment to fair treatment, equal opportunity and the affirmative action objectives of the organization, and has a significant positive impact on achievement of goals in this area. In addition, the employee demonstrates innovation and specific positive achievements in meeting other management obligations such as safety, internal management controls, merit systems principles, performance management, management of conduct and discipline issues, and employee development.

Superior: The employee demonstrates good leadership skills and establishes sound working relationships. The employee almost always handles difficult situations with subordinates with professionalism and effectiveness. The employee shows good judgment in dealing with others and considering their views. The employee has a strong sense of mission and seeks out responsibility. The employee demonstrates a commitment to fair treatment, equal opportunity and the affirmative action objectives of the organization, and has a positive impact on achievement of goals in this area. In addition, the employee promotes a safe working environment and solutions to problems encountered in meeting other management obligations including internal management controls, merit systems obligations, managing performance, management of conduct and discipline issues, and employee development.

Fully Successful: The employee is a capable leader who works successfully with others and listens to suggestions. The employee generally handles difficult situations with subordinates with professionalism and effectiveness. The employee also works well as a team member, supporting the group's efforts and showing an ability to handle a variety of interpersonal situations. The employee's work with others shows an understanding of the importance of fair treatment and equal opportunity and meets all management commitments related to providing a safe working environment, merit systems obligations, performance management, and internal controls, and management of conduct and discipline issues.

Minimally Successful: The employee's supervisory performance shows serious deficiencies that require correction. The employee sometimes fails to motivate subordinates and promote team spirit; provide clear assignments and performance requirements or sufficient instructions to subordinates; provide sufficient explanation of organizational goals to subordinates; satisfy customer needs and/or meet customer service objectives; and/or meet production or mission goals in a timely and quality manner. The employee's work with others fails to show a consistent understanding of the importance of fair treatment and equal opportunity. The employee does not meet all management obligations related to internal controls, merit system obligations, performance management, management of conduct and discipline issues, and employee development.

Unsatisfactory: The employee's supervisory performance is unsatisfactory. The employee usually fails to motivate subordinates and promote team spirit; often provides unclear assignments and performance requirements or insufficient instructions to subordinates; frequently fails to provide sufficient explanation of organizational goals to subordinates; generally fails to satisfy customer needs and/or meet customer service objectives; and/or frequently fails to meet production or mission goals in a timely and quality manner. The employee's work with others consistently fails to show an understanding of the importance of fair treatment and equal opportunity. Employee frequently fails to meet other management obligations related to internal controls, merit systems obligations, performance management, management of conduct and discipline issues, and employee development.

B. Information Technology Management (ITM) - Employees with information technology security responsibilities:

If employees meet one of the criteria below, then the applicable critical element must be incorporated into their performance plans.

Criteria:

- Employees with administrative privileges to applications and systems, such as system administrators, network administrators, database administrators, and programmers who have one or more of the following:
 - Ability to create user accounts and access rights;
 - System level access with the ability to alter records or information; and
 - Ability to start and stop network services and servers.

Critical Element: Adheres to all applicable IT security controls (managerial, operational, and technical) in accordance with the Service's IT Security Plan and Security Program as published on the Service intranet, and ensures that they are integrated and/or executed in a way that will result in an acceptable level of risk.

Criteria:

- **Managers** who directly or indirectly supervise employees or contractors with privileged access:

Critical Element: Ensures that employees or contractors with privileged access to systems are aware of the Service's IT Security Plan and Security Program, as published on the Service intranet, and understand their responsibility to implement its applicable controls. Ensures that adequate IT security funding is available to implement applicable security controls.

C. Strategic Mission - All employees must have at least one critical element that is tied directly to or is involved in implementing a GPRA or mission critical goal. In order to assist you with cascading goals into employee performance plans, the Division of Human Resources and the Planning and Evaluation Staff are currently working together to develop guidance and instruction on cascading GPRA or mission critical goal to be issued mid December.

Please contact your servicing human resources office if you have any questions.

Our mission is, working with others, to conserve, protect and enhance fish, wildlife, and plants and their habitats for the continuing benefit of the American people.